

05/30/01

06-01-01

A

Please type a plus sign (+) inside this box → [ + ]

PTO/SB/05 (11/00)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>UTILITY PATENT APPLICATION TRANSMITTAL</b> <small>(Only for new nonprovisional applications under 37 CFR 1.53(b))</small>	Attorney Docket No.	910000-2001
	First Inventor	R. Rox Anderson et al.
	Title	APPARATUS AND METHOD FOR LASER TREATMENT WITH SPECTROSCOPIC FEEDBACK
	Express Mail Label No.	EL742692054US

<b>APPLICATION ELEMENTS</b> See MPEP chapter 600 concerning utility patent application contents.	<b>ADDRESS TO:</b> Assistant Commissioner for Patents Box Patent Application Washington, DC 20231
---	--

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification, Claims & Abstract [Total Pages 78]
  - Specification (pp 1-77)  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix.
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (page 28)
  - Detailed Description
  - Claim(s) (50 Claims) (pp. 69-77)
  - Abstract of the Disclosure (ONE PAGE; PAGE 78)
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 29; Figs 1A-1B, 2A-3B, 4, 5, 6-7, 8A-9, 10, 11A-11C, 12, 13, 14-15, 16, 17-18, 19A-19C, 20A-20C, 21, 22, 23, 24A-24C, 24D-24E, 25A-25B, 26A-27B, 28, 29A-29C, 30, 31, 32A-32D, 33]
5. ☐ Oath or Declaration [Total Pages 3]
  - a. ☒ Newly executed (original or copy; unsigned)
  - b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)
    - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76.

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form (CFR)
  - b. Specification sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies

- | ACCOMPANYING APPLICATION PARTS   |  |
|--|--|
| 9. <input type="checkbox"/> Assignment Papers (cover sheet & documents(s))   |  |
| 10. <input type="checkbox"/> 37 CFR 3.73(b) Statement  |  |
| <input checked="" type="checkbox"/> Power of Attorney<br><small>(when there is an assignee)</small>  |  |
| 11. <input type="checkbox"/> English Translation Document (if applicable)  |  |
| 12. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449   | <input type="checkbox"/> Copies of IDS Citations |
| 13. <input type="checkbox"/> Preliminary Amendment   |  |
| 14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503)<br><small>(Should be specifically itemized)</small>                     |  |
| 15. <input type="checkbox"/> Certified Copy of Priority Document(s)<br><small>(if foreign priority is claimed)</small>                             |  |
| 16. <input type="checkbox"/> Request and Certification under 35 U.S.C. 122(b)(2)(B)(i).<br>Applicant must attach from PTO/SB/35 or its equivalent. |  |
| 17. <input type="checkbox"/> Other:  |  |

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

<input type="checkbox"/> Continuation	<input type="checkbox"/> Divisional	<input type="checkbox"/> Continuation-in-part (CIP)	of prior application No.: _____
Prior application information: Examiner: _____			Group/Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon which a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS			
<input type="checkbox"/> Customer Number or Bar Code Label	(Insert Customer No. or Attach bar code label here)		or <input type="checkbox"/> Correspondence address below
Name	Thomas J. Kowalski FROMMER LAWRENCE & HAUG LLP		
Address	745 Fifth Avenue		
City	New York	State	NY
Country	U.S.	Zip Code	10151
	Telephone	(212) 588-0800	Fax (212) 588-0500

Name (Print/Type)	Thomas J. Kowalski	Registration No. (Attorney/Agent)	32,147
Signature	<i>[Signature]</i>	Date	May 30, 2001

# FEE TRANSMITTAL

Patent fees are subject to annual revision on October 1.  
These are the fees effective October 1, 2000.  
Small Entity payments must be supported by a small entity statement,  
otherwise large entity fees must be paid See Forms PTO/SB/09-12.

TOTAL AMOUNT OF PAYMENT

(\$ 825.00

## Complete if Known

Application Number **Not Yet Known**  
Filing Date **May 30, 2001**  
First Named Inventor **R. Rox Anderson et al.**  
Examiner Name **Not Yet Known**  
Group/Art Unit **Not Yet Known**  
Attorney Docket No. **910000-2001**

## METHOD OF PAYMENT

1. ☐

The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

**Frommer Lawrence & Haug LLP**

**50-0320**

☒ Charge any Additional Fee  
Required Under 37 CFR 1.16 and  
1.17

☐ Charge the Issue Fee Set in 37 CFR  
1.18 at the Mailing of the Notice of  
Allowance

2. ☒ Payment Enclosed

☒ Check ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	355.00
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	
SUBTOTAL (1)					355.00

### 2. EXTRA CLAIM FEES

Total Claims	Extra Claim	Fee from below	Fee Paid
50	-20** = 30	9	270.00
Ind. Claims	-3** = 5	40	200.00
Multiple Dependent		0	470.00

\*\* or number previously paid, if greater; for reissues, see below

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	130	Multiple dependent claim, if not paid
109	80	209	40	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent
107	490	207	245	Plant filing fee
SUBTOTAL (2)				\$470.00

## FEE CALCULATION

### 3. ADDITIONAL FEES

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205		Surcharge - late filing fee or oath	0
127	50	227	25	Surcharge - late provisional filing fee or Cover sheet	0
139	130	139	130	Non-English specification	0
147	2,520	147	2,520	For filing a request of reexamination	0
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	0
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	0
115	110	215	55	Extension for reply within first month	0
116	390	216	195	Extension for reply within second month	0
117	890	217	445	Extension for reply within third month	0
118	1,390	218	695	Extension for reply within fourth Month	0
128	1,890	228	945	Extension for reply within fifth month	0
119	310	219	160	Notice of Appeal	0
120	310	220	155	Filing a brief in support of an appeal	0
121	270	221	135	Request for oral hearing	0
138	1,510	138	1,510	Petition to institute a public use Proceeding	0
140	110	240	55	Petition to revive - unavoidable	0
141	1,240	241	620	Petition to revive- unintentional	0
142	1,240	242	620	Utility issue fee (or reissue)	0
143	440	243	220	Design issue fee	0
144	600	244	300	Plant issue fee	0
122	130	122	130	Petitions to the Commissioner	0
123	50	123	50	Petitions related to provisional Applications	0
126	240	126	240	Submission of Information Disclosure Statement	0
581	40	581	40	Recording each patent assignment per property (times number of properties)	0
146	710	246	355	Filing a submission after final rejection (37 CFR 1.129(a))	0
149	710	249	355	For each additional invention to be examined (37 CFR 1.129(b))	0
Other fee (specify)					0
Other fee (specify)					0
SUBTOTAL (3)					\$

\* Reduced by Basic Filing Fee

SUBMITTED BY

DEXTER CHANG, REG. NO. 44,071

Complete (if applicable)

Typed or Printed Name

FOR: Thomas J. Kowalski, Esq.

Reg. Number

32,147

Signature

Date

5/30/01

Deposit Account

50-0320

**Patent Application Transmittal**  
**(only for new nonprovisional applications**  
**under 37 C.F.R. 1.53(b))**  
**Correspondence Address:**  
**FROMMER LAWRENCE & HAUG LLP**  
**745 Fifth Avenue**  
**New York, New York 10151**  
**Tel. (212) 588-0800**  
**Fax: (212) 588-0500**

Re: 910000-2001

TO: ASSISTANT COMMISSIONER FOR PATENTS  
Box PATENT APPLICATION, Washington, D.C. 20231

Sir:

With reference to the filing in the United States Patent and Trademark Office of an application for patent in the name of:

**R. Rox Anderson, Ian W. Hunter,  
Colin J. H. Brenan, Keng H. Lim, Elizabeth L. Sebern**

(information on attached UNSIGNED Declaration & Power of Attorney)

entitled: **APPARATUS AND METHOD FOR LASER  
TREATMENT WITH SPECTROSCOPIC FEEDBACK**

X This is an application of a small entity.

The following are enclosed:

X Specification (77 pages, plus 1 page of abstract on page 78).

X (29) Sheet(s) of Drawings (Figures 1A-1B, 2, 3A-3B, 4, 5, 6-7, 8A-9, 10, 11A-11C,  
12, 13, 14-15, 16, 17-18, 19A-19C, 20A-20C, 21, 22, 23, 24A-24C, 24D-24E, 25A-25B, 26A-27B,  
28, 29A-29C, 30, 31, 32A-32D, 33)

X 50 Claims (pp. 69-77 including 8 independent)

X Oath or Declaration and Power of Attorney (unsigned) (3 pages)

X The filing fee will be paid and an executed Declaration and Power of Attorney will be filed upon receipt of  
a Notice To File Missing Parts. Kindly accord the application a May 30, 2001 filing date.

Respectfully submitted,

FROMMER LAWRENCE & HAUG LLP

Attorneys for Applicants

*DEXTER C. STANLEY*, REG. NO. 44,071

By: *[Signature]*

For: Thomas J. Kowalski, Reg. No. 32,147

**EXPRESS MAIL**

Mailing Label Number: EL742692054US

Date of Deposit: May 30, 2001

I hereby certify that this paper or fee is being deposited with the  
United States Postal Service "Express Mail Post Office to  
Addressee" Service under 37 CFR 1.10 on the date indicated  
above and is addressed to: Assistant Commissioner for Patents,  
Washington, D.C. 20231.

*Islande Dupoux*  
(Typed or printed name of person mailing paper or fee)

*Islande Dupoux*  
(Signature of person mailing paper or fee)

00014091

**CERTIFICATE OF MAILING - SEPARATE PAPER - PATENT APPLICATION**

Attorney Docket No. : 910000-2001

Title : **APPARATUS AND METHOD FOR LASER  
TREATMENT WITH SPECTROSCOPIC FEEDBACK**

Filed : May 30, 2001

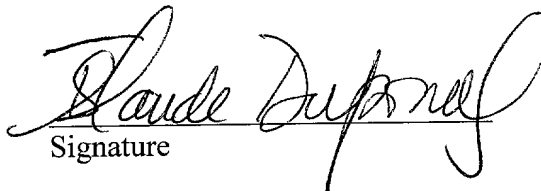
Applicants : R. Rox Anderson et al.

Mailed : Via Express Mail Label # EL742692054US

I hereby certify that the Patent Application for the above-referenced application is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. 1.10 on the date indicated above and is addressed to:

BOX PATENT APPLICATION  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Islande Dupoux  
(Typed/printed name of person mailing paper or fee)

  
Signature